

**Notice of Allowability**

Application No.

09/346,719

Examiner

Alain L. Bashore

Applicant(s)

ANAYA ET AL.

Art Unit

1762

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 11-14-05.
2. ☒ The allowed claim(s) is/are 44-63.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☒ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☒ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☒ to Paper No./Mail Date 9-17-01.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08), Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413), Paper No./Mail Date \_\_\_\_\_
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_

  
**ALAIN L. BASHORE**  
**PRIMARY EXAMINER**

## **DETAILED ACTION**

### ***Allowable Subject Matter***

1. Claims 44-63 are allowed.

2. Allowable subject matter may require further review for applications in class 705 before a notice of allowance is mailed to applicant. The time period for review may vary from application to application.

3. The following is an examiner's statement of reasons for allowance:

The present invention includes independent claims 44, 53 and 55. Claim 44 recites a method executed in a market surveillance computer system, claim 53 recites an apparatus, and claim 55 recites a computer program product, tangibly embodied in an information carrier, for line handling.

Wilson is considered the closest prior art. Wilson teaches market event data received by a plurality of feed lines (fig 1) which is then translated into common formats (col 2, lines 38-44; col 6, lines 61-67; col 7, lines 1-7; col 7, lines 39-55). Mechanisms (fig 1) receive the data after it has been processed by a gateway (1) which is then disseminated. A private network is disclosed (col 4, lines 5-16).

Wilson also discloses placing time data on incoming messages as a means of

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accurately identifying and flagging messages for later processing and to provide an platform compatibility to facilitate network communications over disparate network architectures and protocols. Wilson discloses market session data, feed, and original identification.

Claim 44 recites in combination that which is not disclosed to Wilson including: attaching timing data from a timing object to the received message, the timing data including data including a time extracted from the received message and a stamp indicating a receipt time at the receiver object;

activating a translator object to translate the received message into a market event object;

assigning the market event object to an entry in a queue object;

validating the market event object entry

publishing the validated market event object entry in a sender object top a plurality of alert engines that processes the market event objects to detect possible alert conditions.

Claim 53 recites in combination that which is not disclosed to Wilson including: a timing object for attaching timing data from to the received message, the timing data including data including a time extracted from the received message, a stamp indicating a receipt time at the receiver object timing data corresponding to the time extracted from the received message and time from a previously received message

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from the same feed, to provide an estimate of an actual event time associate with the market event;

- a translator object to translate the received message into a market event object;

- a queue object for receiving the market event object;

- a validation object for validating the market event object entry

- a sender object to send the validated market event object entry to a plurality of alert engines.

Claim 55 recites in combination that which is not disclosed to Wilson including:  
attach timing data from a timing object from one of a plurality of feed lines;

- attach timing data from a timing object to the received message, the timing data including a time extracted from the received message, a stamp indicating a received time at the receiver object and timing data corresponding to the time extracted from the received message and the time from a previously received message from the same feed line, to provide an estimate of an actual event time to associate with the market event;

- activate a translator object to translate the received message into a market event object;

- assign the market event object to an entry in a queue object;

- validate the market event object entry;

- publish the validated market object entry in a sender object to a plurality of alert engines.

For these reasons claims 44, 53 and 55 are deemed to be allowable over the prior art of record, and claims 45-52, 54, 56-63 are allowable by dependency.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

#### ***Drawings***

4. New corrected drawings in compliance with 37 CFR 1.121(d) are required in this application to comply with draftsperson's official notice of 9-17-01. Applicant is advised to employ the services of a competent patent draftsperson outside the Office, as the U.S. Patent and Trademark Office no longer prepares new drawings. The corrected drawings are required in reply to the Office action to avoid abandonment of the application. The requirement for corrected drawings will not be held in abeyance.

#### ***Conclusion***

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Alain L. Bashore whose telephone number is 571-


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272-6739. The examiner can normally be reached on about 7:30 am to 5:00 pm (Mon. thru Thurs.).

Regarding all Class 705 applications, the management contact regarding examination is: Vincent Millin (SPE, art unit 3624) at 571-272-6747.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Timothy Meeks can be reached on 571-272-1423. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

6. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
Alain L. Bashore  
Primary Examiner  
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